

Application No. 09/660,629	Filing Date 09/20/01	BSTZ DocID# 123456789	Acc.Sec. RUEBUF/mh
Date Mailed 12/27/2001 DocID Due Date 12/22/2001 To 1000000 Electronics Corporation			
THE ANALOG/DIGITAL RECORDING AND PLAYBACK SYSTEM AND RELATED METHOD			
Inventor(s) Ehrmann, Christian			
The following has been received in the U.S. Patent & Trademark Office. Only the document itself is shown.			
<input type="checkbox"/> Amendment (pages) <input type="checkbox"/> Information Disclosure Statement & PTO/SB/08 (pages) <input type="checkbox"/> Appeal Brief & two copies (pages) <input type="checkbox"/> Interference Paper (original & copy) <input type="checkbox"/> Application (pages w/ cover & abstract) <input type="checkbox"/> Notice of Appeal <input type="checkbox"/> Assignment & Cover Sheet (pages) <input type="checkbox"/> Reabin () <input type="checkbox"/> Certificate of Mailing <input type="checkbox"/> Request for Continued Examination (RCE) <input type="checkbox"/> Continued Prosecution Application (CPA) <input type="checkbox"/> Ready Sheet () <input type="checkbox"/> Declaration & PDA (pages) <input type="checkbox"/> Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i) <input type="checkbox"/> Drawing (sheets) (figures) <input type="checkbox"/> Request to Reopen Previous Nonprosecution Period <input type="checkbox"/> Express Mail No. <input type="checkbox"/> Response to Notice of Missing Parts & Formality Letters <input type="checkbox"/> Extension of Time <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Fee Transmittal (original & copy) <input type="checkbox"/> Transmittal of Formal Drawings <input type="checkbox"/> Other Copy of cited references <input type="checkbox"/> Transmittal of Publication Fee Due <input type="checkbox"/> CM			

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PTO/SB/21 (12/97)

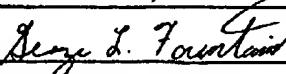
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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>		Application No.	09/960,029
		Filing Date	September 20, 2001
		First Named Inventor	Peter Holzmann
		Group Art Unit	
		Examiner Name	
Total Number of Pages in This Submission	31	Attorney Docket Number	42236P068

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> To Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
		<div style="border: 1px solid black; padding: 5px; min-height: 40px;"> PTO/SB/08; copy of cited references </div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	George L. Fountain, Reg. No. 36,374 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	December 17, 2001

CERTIFICATE OF MAILING/TRANSMISSION			
I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:			
December 17, 2001			
Typed or printed name	Eric Hoover		
Signature		Date	December 17, 2001

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PTO/SB/17 (10-01)

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FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known	
Application No.	09/960,029
Filing Date	September 20, 2001
First Named Inventor	Peter Holzmann
Examiner Name	
Group/Art Unit	
Attorney Docket No.	42236P068

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **02-2666**Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

Charge Any Additional Fee(s) Required
Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

Applicant claims small entity status.
See 37 CFR 1.27.

2. Payment Enclosed:

Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Extra Claims	Fee from below
34	8	**=	X =
-	-	=	=

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple Dependent claim, if not paid
109	84	209	42	**Reissue Independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

**or number previously paid, if greater. For Reissues, see below

3. ADDITIONAL FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to Institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant Issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY						Complete (if applicable)	
Name (Print/Type)	George L. Fountain	Registration No. (Attorney/Agent)	36,374	Telephone	(714) 557-3800		
Signature	<i>George L. Fountain</i>			Date	12/17/01		

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NOV 14 2005

PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL
for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known

Application No.	09/960,029
Filing Date	September 20, 2001
First Named Inventor	Peter Holzmann
Examiner Name	
Group/Art Unit	
Attorney Docket No.	42236P068

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **02-2666**Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP** Charge Any Additional Fee(s) Required
Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20. Applicant claims small entity status.
See 37 CFR 1.27.

2. Payment Enclosed:

 Check Credit card Money Order Other

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108	740	208	370	Reissue filing fee			
114	160	214	80	Provisional filing fee			
SUBTOTAL (1)		(\$)					

2. EXTRA CLAIM FEES

Total Claims	34	-	**	=	<input type="text"/> X <input type="text"/> = <input type="text"/>	Fee from below
Independent Claims	8	-	**	=	<input type="text"/> X <input type="text"/> = <input type="text"/>	
Multiple Dependent						

Large Entity	Small Entity	Fee	Fee	Fee	Fee Description	Fee Paid
Code	Code	(\\$)	(\\$)	(\\$)		
103	18	203	9	Claims in excess of 20		
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SUBTOTAL (2)		(\$)				

*or number previously paid, if greater. For Reissues, see below

3. ADDITIONAL FEE

Large Entity	Small Entity	Fee	Fee	Fee	Fee	Fee Description	Fee Paid
Code	Code	(\\$)	(\\$)	(\\$)	(\\$)		
105	130	205	65	Surcharge - late filing fee or oath			
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179	740	279	370	Request for Continued Examination (RCE)			
169	900	169	900	Request for expedited examination of a design application			
Other fee (specify)							
Other fee (specify)							

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY		Complete (if applicable)		
Name (Print/Type)	Signature	Registration No. (Attorney/Agent)	Telephone	Date
George L. Fountain	George L. Fountain	36,374	(714) 557-3800	12/17/01

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CENTRAL FAX CENTER Docket No.: 42236P068
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

PETER HOLZMANN, ET AL.

Art Group:

Application No.: 09/960,029

Examiner:

Filed: September 20, 2001

For: ANALOG/DIGITAL RECORDING AND
PLAYBACK SYSTEM AND RELATED
METHOD

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 CFR § 1.56 and in accordance with 37 C.F.R. § 1.97, enclosed is a copy of Information Disclosure Citation Form PTO/SB/08. Copies of the references cited on PTO/SB/08 are enclosed herewith. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

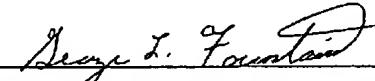
Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any additional fee due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal is enclosed for this purpose.

Respectfully submitted,

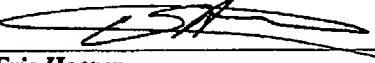
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: December 17, 2001


George L. Fountain, Reg. No. 36,374

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
(714) 557-3800

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Eric Hoover 12/17/01
Date

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<p>Substitute for form 1449A/PTO</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p><i>(use as many sheets as necessary)</i></p>				<p>Complete If Known</p>	
Sheet	1	of	2	Application Number	09/960,029
				Filing Date	September 20, 2001
				First Named Inventor	Peter Holzmann
				Group Art Unit	
				Examiner Name	
				Attorney Docket Number	42236P068

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered
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**Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.*

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/088 (08-00)

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<p>Substitute for form 1449A/PTO</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p>				<p>Complete if Known</p>													
<p>Sheet 2 of 2</p>		<table border="1"> <tr> <td>Application Number</td> <td>09/960,029</td> </tr> <tr> <td>Filing Date</td> <td>September 20, 2001</td> </tr> <tr> <td>First Named Inventor</td> <td>Peter Holzmann</td> </tr> <tr> <td>Group Art Unit</td> <td></td> </tr> <tr> <td>Examiner Name</td> <td></td> </tr> <tr> <td>Attorney Docket Number</td> <td>42236P068</td> </tr> </table>				Application Number	09/960,029	Filing Date	September 20, 2001	First Named Inventor	Peter Holzmann	Group Art Unit		Examiner Name		Attorney Docket Number	42236P068
Application Number	09/960,029																
Filing Date	September 20, 2001																
First Named Inventor	Peter Holzmann																
Group Art Unit																	
Examiner Name																	
Attorney Docket Number	42236P068																

OTHER ART - NON PATENT LITERATURE DOCUMENTS

Examiner Signature		Date Considered
-----------------------	--	--------------------

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication

**Unique citation designation number. *Applicant is to place a check mark here if English language Translation is attached.*

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